

Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process



Chief Engineer

Office Work Instruction

Lead & Manage PAPAC Process

Original Approved by: Mr. W. Brian Keegan, Chief Engineer

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DOCUMENT HISTORY LOG

<u>Status</u> (<u>Baseline/</u> <u>Revision/</u> <u>Canceled</u>)	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/10/99	
Revision	a	5/3/00	Modified flowcharts and narratives to enhance clarity (no substantive changes). Changed flowchart symbology to align with recommendations in HCP 1400-1. Changed some quality records for clarity. Revised the Review PCAs flowchart to clarify role of Headquarters Correspondence Management Office. Clarified quality records.
Revision	b	8/15/00	Added quality records: Draft Update of PAPAC Goals and Objectives, PAPAC Performance Plan Targets, and Code AE Input to the Performance/Accountability Report. Added step 6.1a for clarity. Corrected actionee in step 6.6a. Renamed a quality record and added a quality record in flowchart G.

Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

1.0 Purpose

The purpose of this procedure is to document the process used by the Office of the Chief Engineer (Code AE) to lead and manage the Provide Aerospace Products and Capabilities (PAPAC) crosscutting process, as described in NPG 1000.2.

2.0 Scope and Applicability

2.1 Scope

The process used by Code AE to lead and manage the PAPAC crosscutting process is documented in this OWI. Separate flowcharts are provided for the sub-processes implemented within Code AE. The activities Code AE performs to lead and manage the PAPAC process are to update the PAPAC strategic goals & objectives, revise the PAPAC policy and guidelines (NPD and NPG), develop performance targets for the NASA Performance Plan and report performance against the targets. Code AE also manages PMC meetings for evaluation: IAs, NARs, and IARs, and PMC meetings for quarterly status review. In addition, Code AE is responsible for reviewing all PCAs for recommendation for the Administrator's signature.

2.2 Applicability

This OWI applies to Code AE.

3.0 Definitions

- 3.1 AA. Associate Administrator
- 3.2 CIC. Capital Investment Council
- 3.3 Deputy AE. Deputy Director of Code AE
- 3.4 IA. Independent Assessment
- 3.5 IAR. Independent Annual Review
- 3.6 IPAO. Independent Program Assessment Office
- 3.7 NAR. Non-Advocate Review
- 3.8 NODIS. NASA On-line Directives Information System
- 3.9 NPD. NASA Policy Directive
- 3.10 NPG. NASA Procedures & Guidelines
- 3.11 PAPAC. Provide Aerospace Products and Capabilities; One of the NASA Cross-Cutting Processes
- 3.12 PCA. Program Commitment Agreement – signed contract between the Administrator and an Associate Administrator to provide specified goods or services in a given time with specified resources
- 3.13 PCC. Program Cost Commitment

Responsible Office: Code AE/ Office of the Chief Engineer

Subject: Lead & Manage PAPAC Process

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- | | |
|------|---|
| 3.14 | <u>PMC</u> . Program Management Council |
| 3.15 | <u>PMCWG</u> . Program Management Council Working Group |
| 3.16 | <u>PRC</u> . Program Review Center |
| 3.17 | <u>Purple Package</u> . Code A Review Package (as defined in NHB 1450.10) |
| 3.18 | <u>QSR</u> . Quarterly Status Review |
| 3.19 | <u>SMC</u> . Senior Management Council |

4.0 References

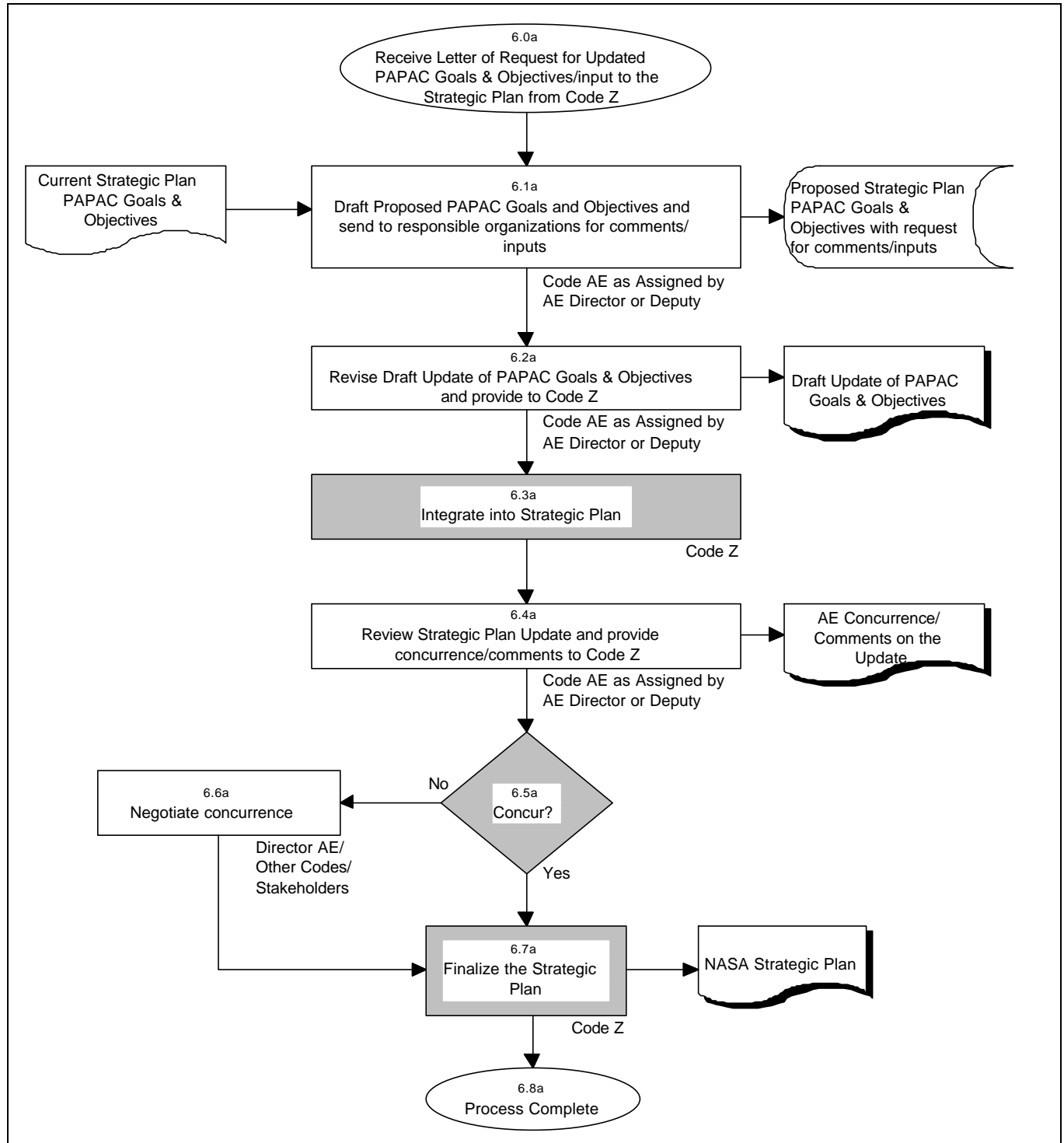
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|-------------|---|
| NPD 1000.1 | NASA Strategic Plan |
| NPG 1000.2 | NASA Strategic Management Handbook |
| NHB 1450.10 | NASA Concurrence Package |
| NPD 7120.4 | NASA Policy Directive for Program/Project Management |
| NPG 7120.5 | NASA Procedures and Guidelines for Program/Project Management |

The correct version of the NPD and NPG documents cited above may be obtained from the NODIS Directives Library at <<http://nodis.hq.nasa.gov/Library/processes.html>>

Responsible Office: Code AE/ Office of the Chief Engineer
 Subject: Lead & Manage PAPAC Process

5.0 Flowchart

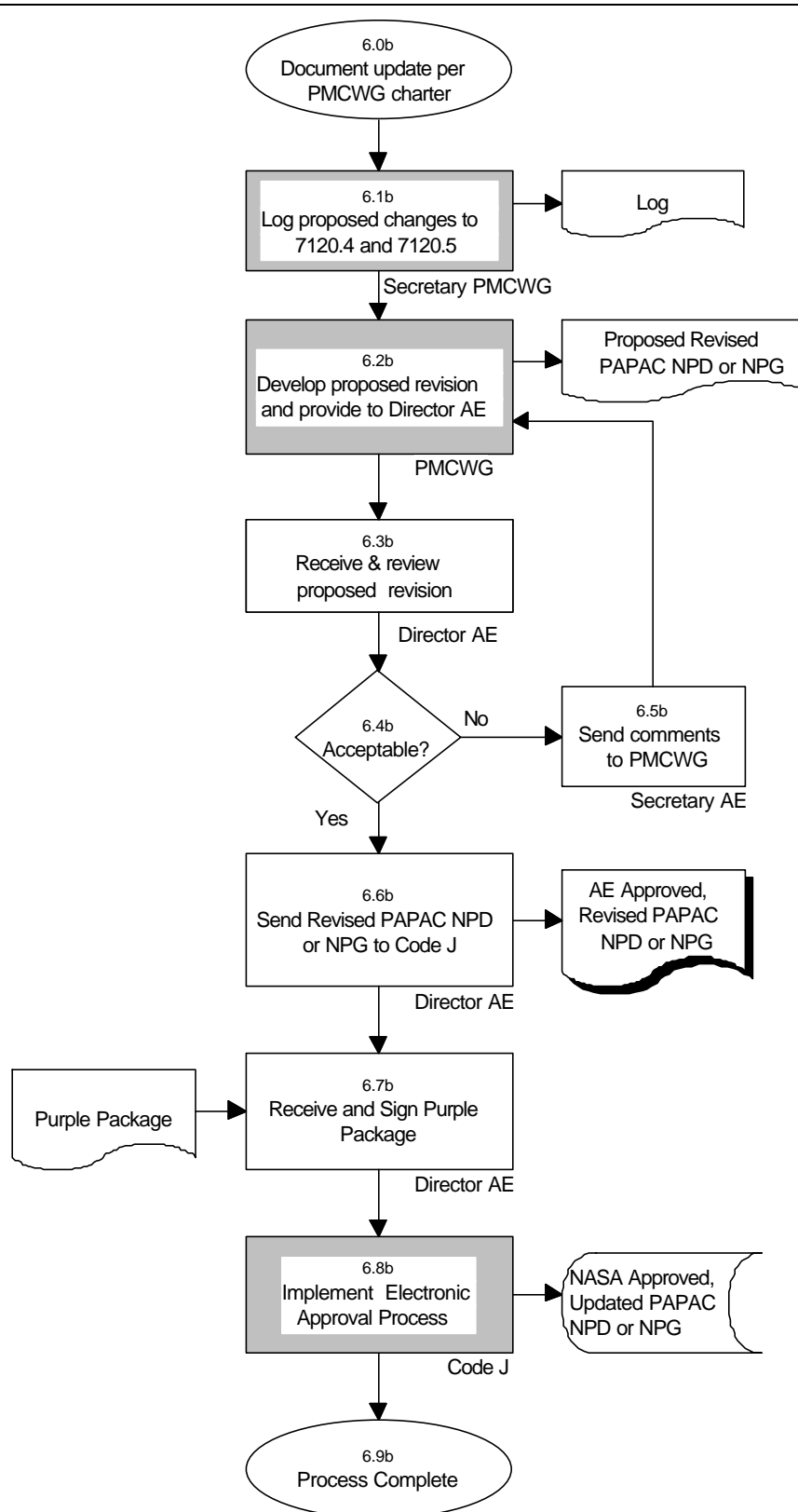
(a) Update PAPAC Goals & Objectives for Strategic Plan



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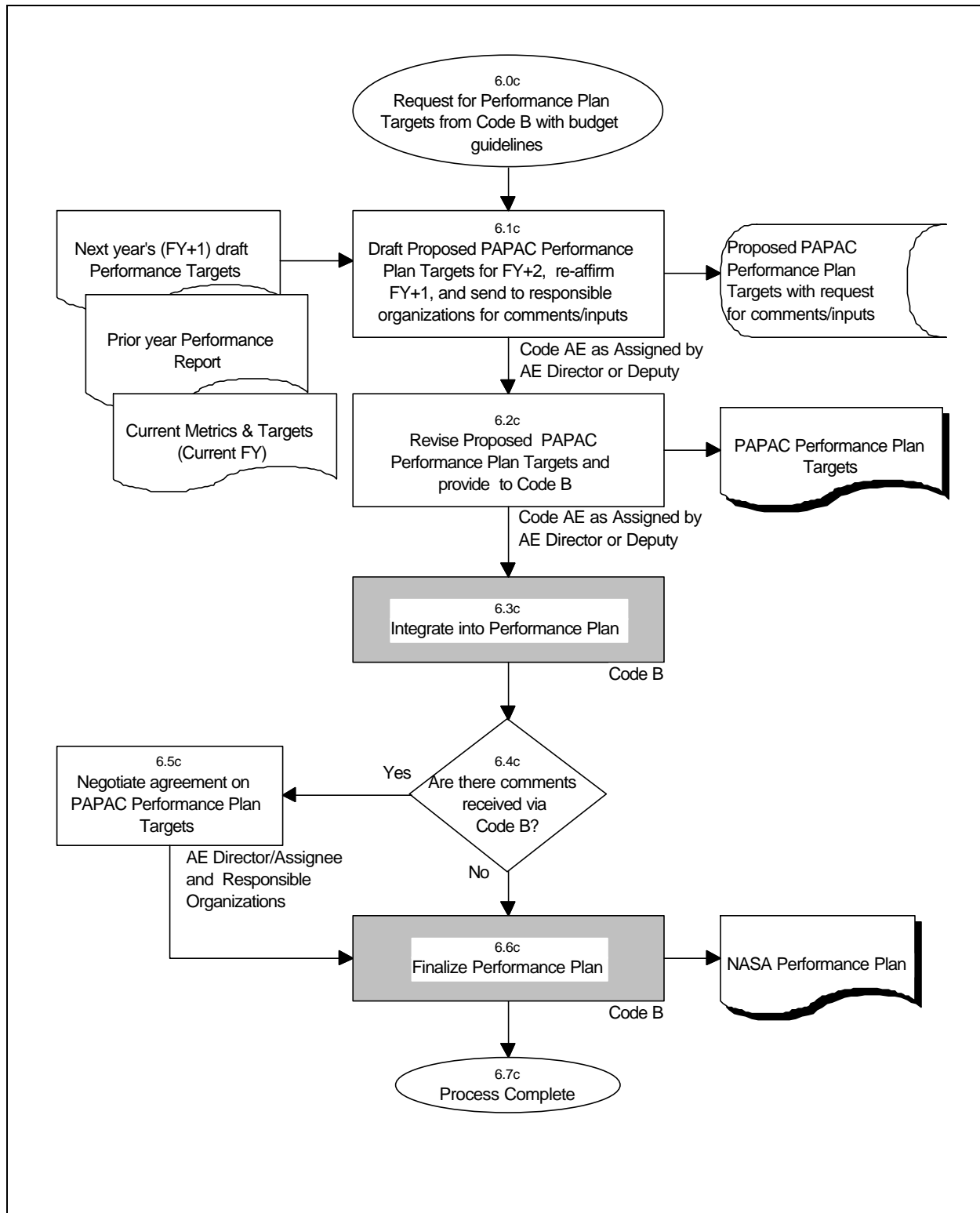
Subject: Lead & Manage PAPAC Process

(b) Revise PAPAC NPD and NPG



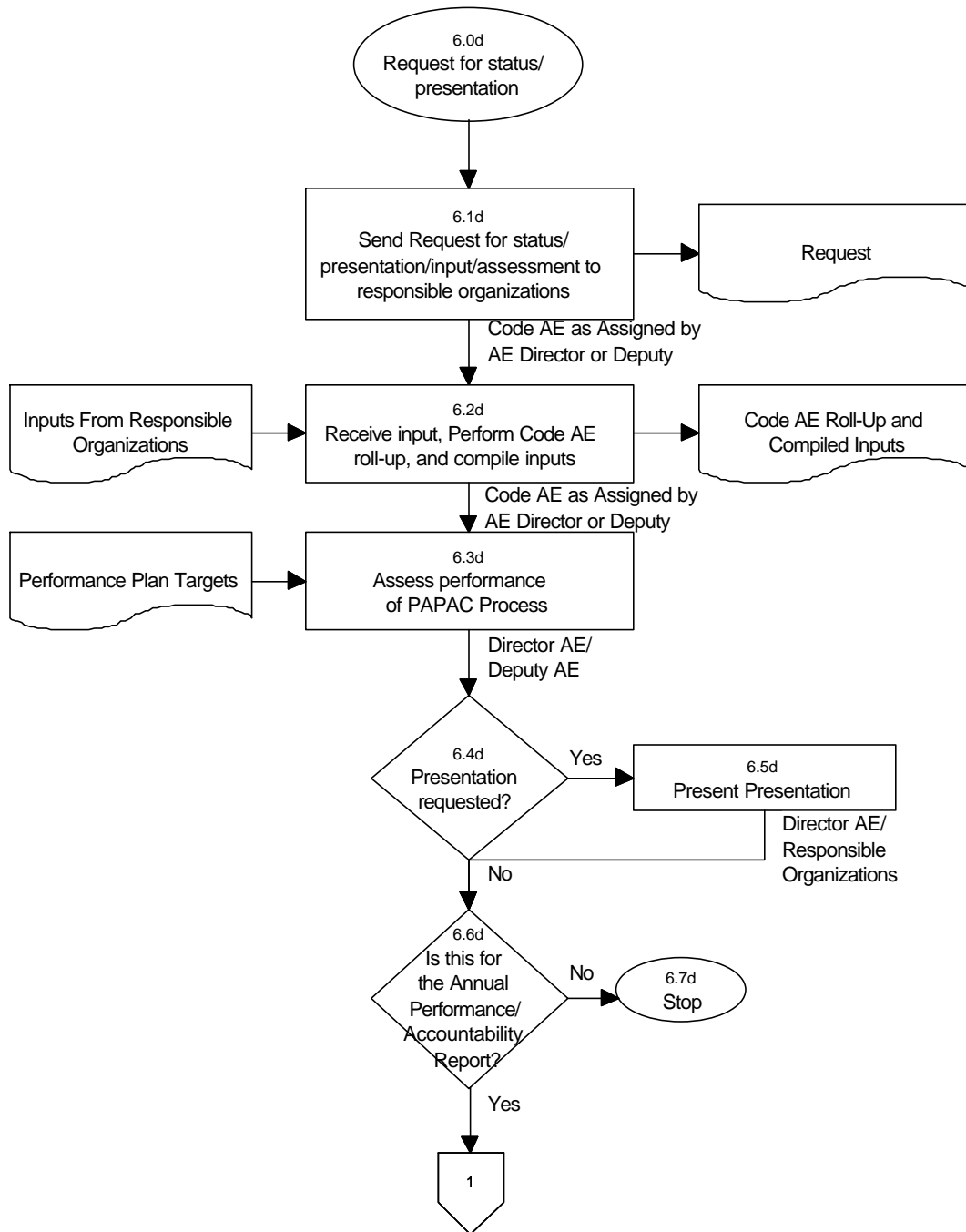
Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

(c) Develop PAPAC Performance Plan Targets



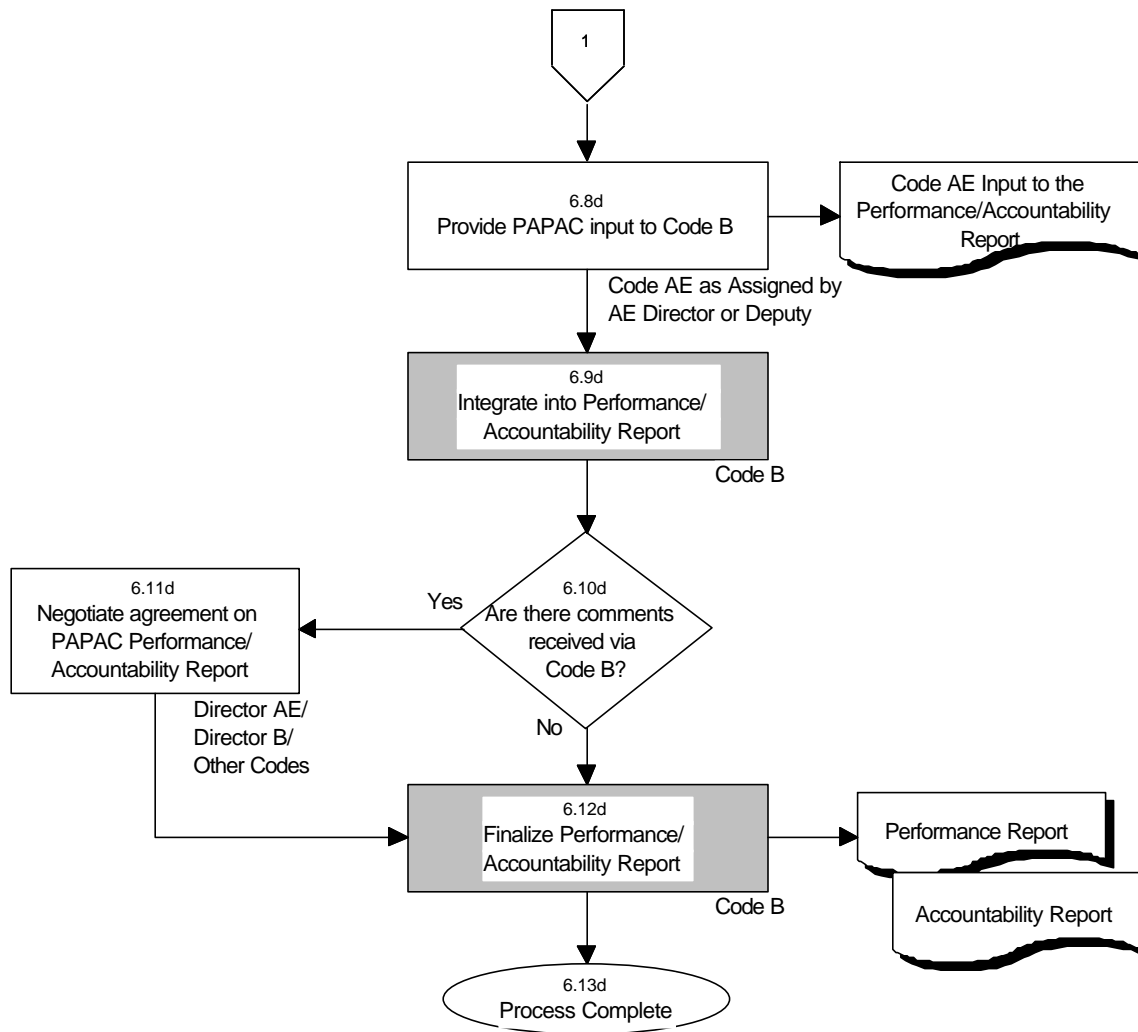
Responsible Office: Code AE/ Office of the Chief Engineer
 Subject: Lead & Manage PAPAC Process

(d) Performance Reporting



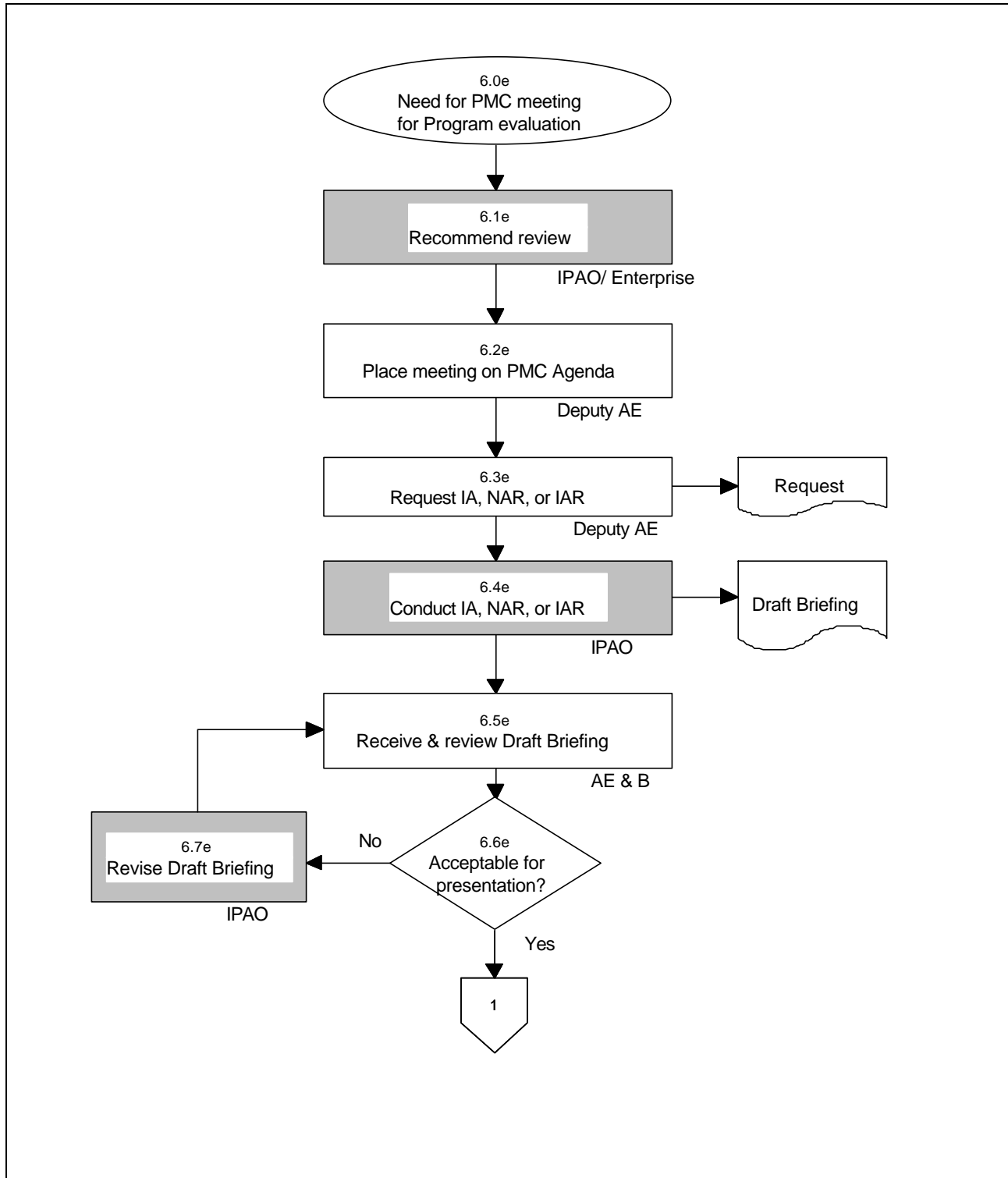
Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

(d) Performance Reporting - continued



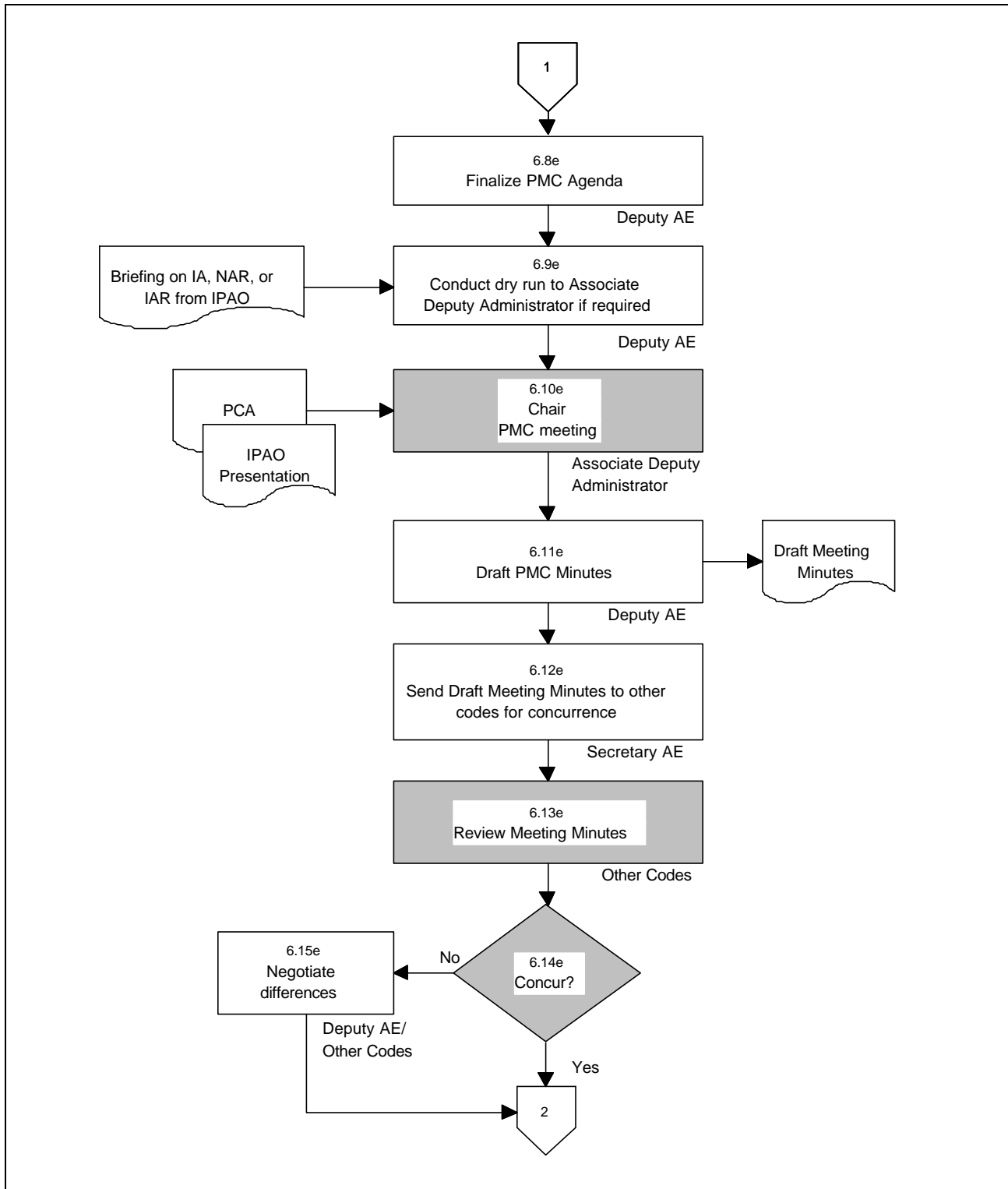
Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

(e) Manage PMC Meetings for Program Evaluation: IAs, NARs, IARs



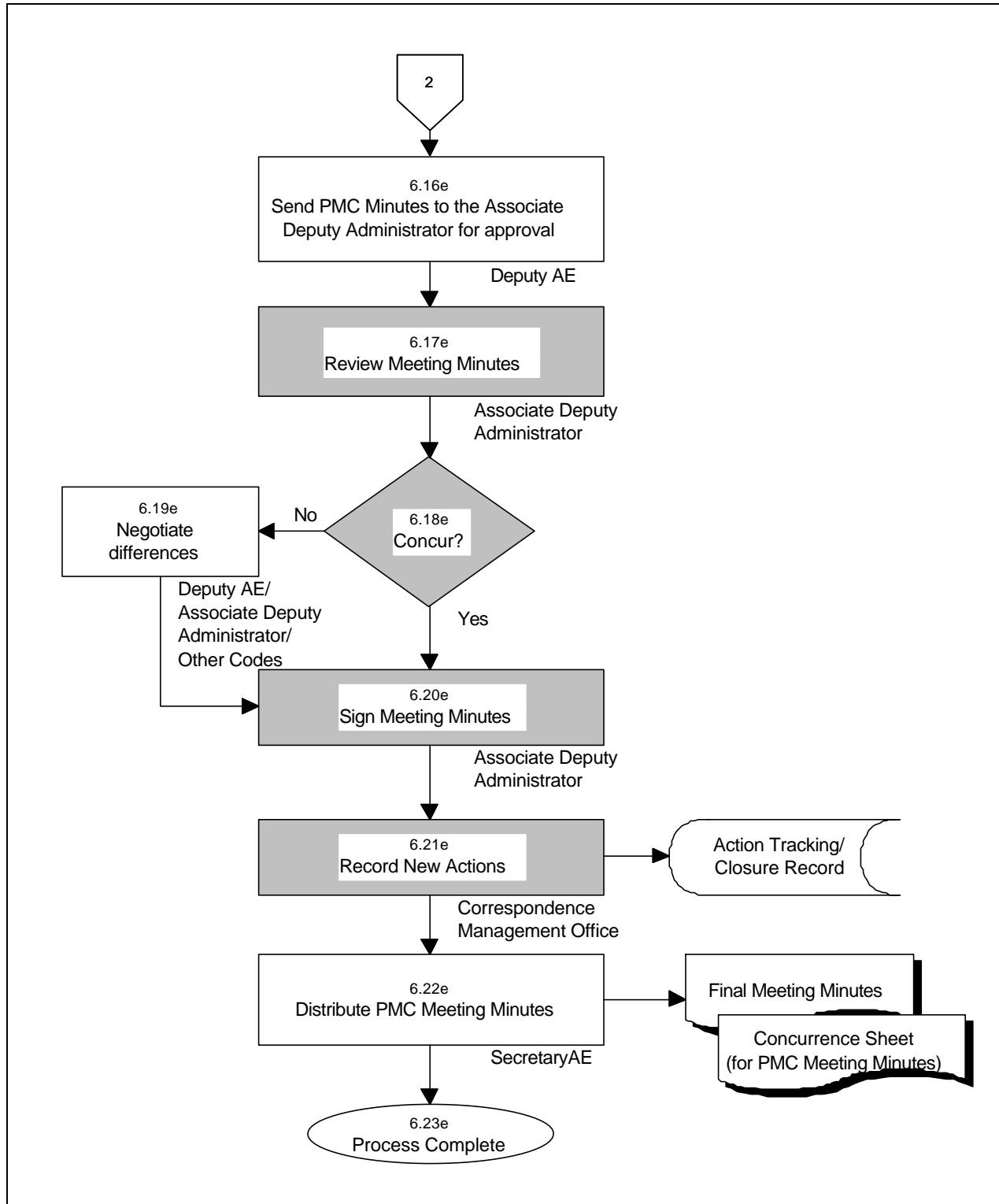
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(e) Manage PMC Meetings for Program Evaluation: IAs, NARs, IARs - continued



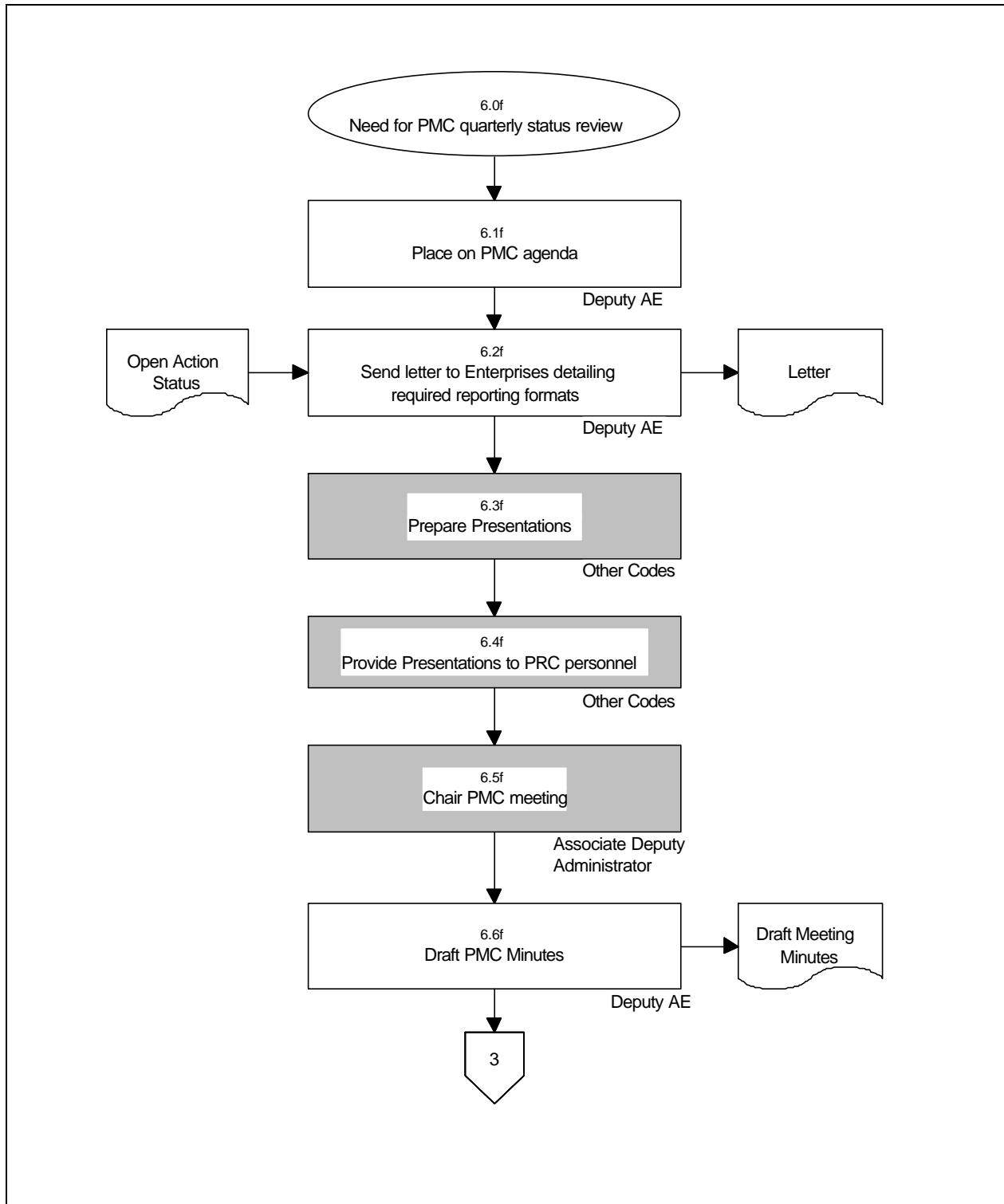
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(e) Manage PMC Meetings for Program Evaluation: IAs, NARs, IARs - continued



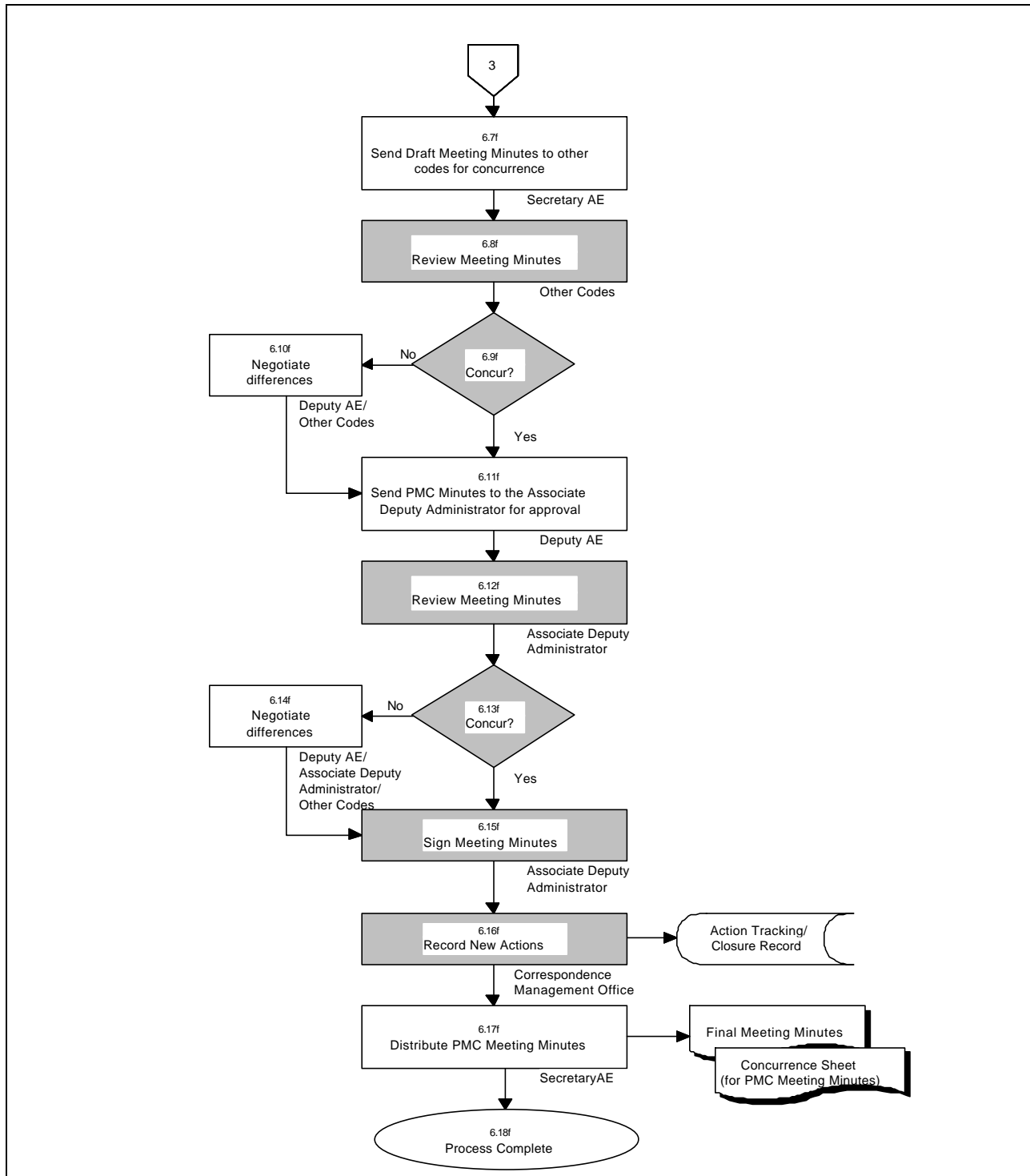
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Subject: Lead & Manage PAPAC Process

(f) Manage PMC Meetings for Quarterly Status Review



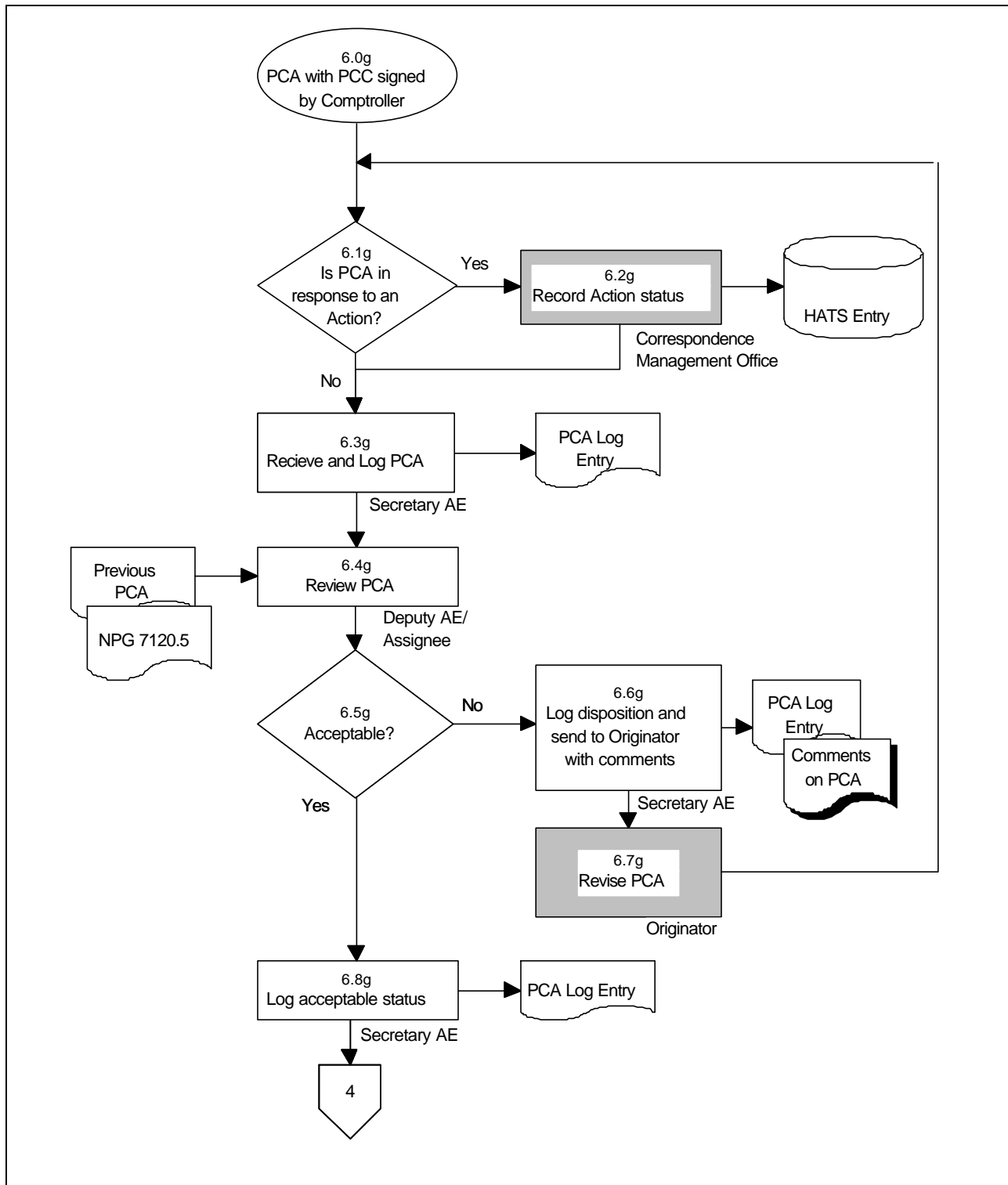
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Subject: Lead & Manage PAPAC Process

(f) Manage PMC Meetings for Quarterly Status Review - continued



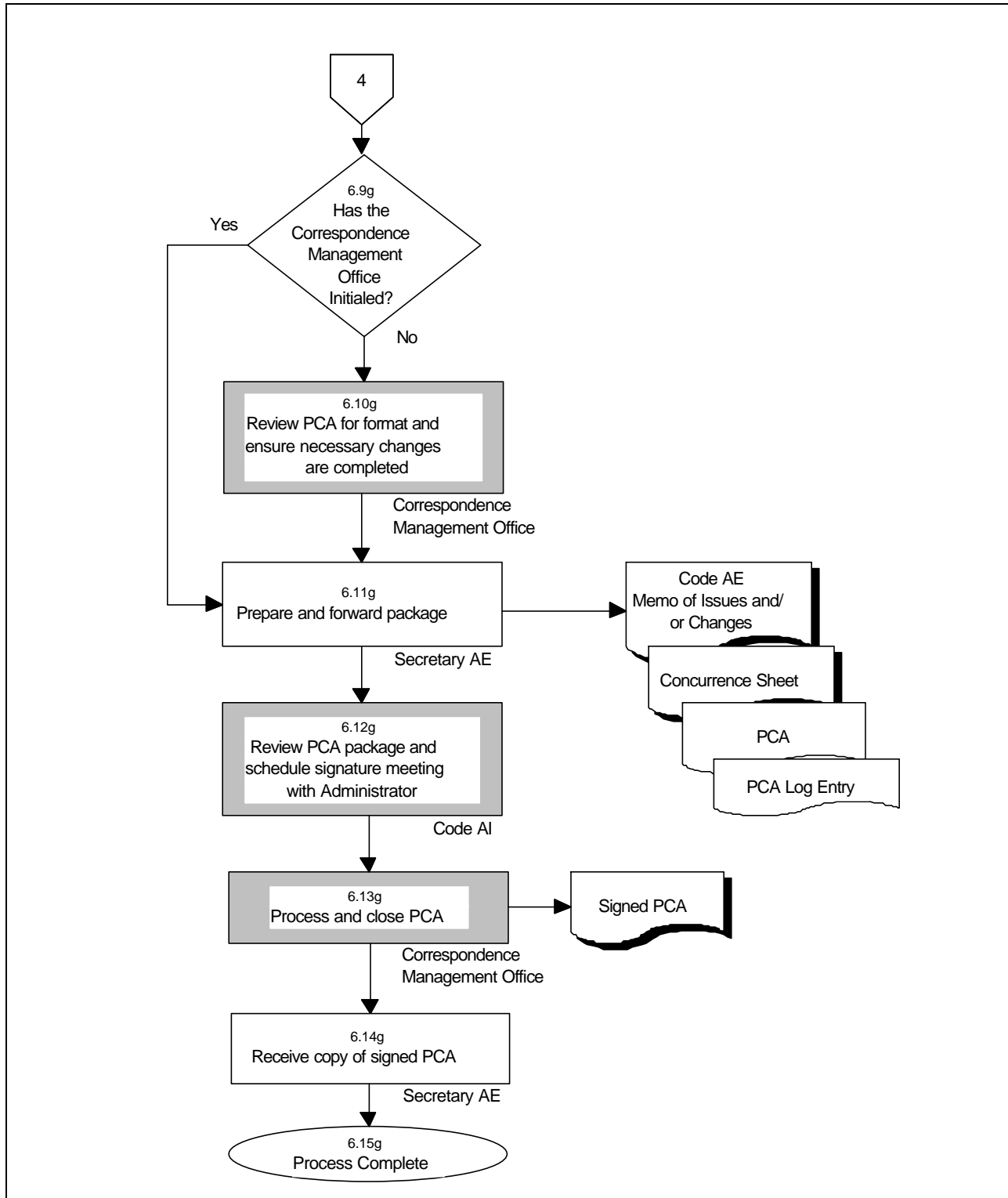
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Subject: Lead & Manage PAPAC Process

(g) Review PCAs



Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

(g) Review PCAs - continued



Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

6.0 Procedure

(a) Update PAPAC Goals & Objectives

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0a		Receive a letter of request for Updated PAPAC goals & objectives/input to the Strategic Plan sent by Code Z.
6.1a	Code AE as assigned by AE Director or Deputy	Review current goals & objectives. Taking into account prior PAPAC goals & objectives, and internal and external influences develop a draft update of the PAPAC goals & objectives in coordination with Director AE. Send the proposed targets via email or memo to the responsible organizations for input/comments.
6.2a	Code AE as assigned by Director or Deputy	Compile the input/comments supplied by the responsible organizations, and revise the PAPAC Performance Plan targets, in coordination with Director AE. Send the draft update (electronic or hardcopy) to Code Z.
6.3a	Code Z	Integrate into Strategic Plan.
6.4a	Code AE/ Other Codes	Taking into account internal and external influences, review update of goals and objectives/Strategic Plan and develop comments/concurrence.
6.5a	Code Z	Code Z next step based on concurrence input.
6.6a	Director AE/ Other Codes/ Stakeholders	Discussion between Code AE, other Codes, and stakeholders, such as the Administration and Congressional representatives to negotiate concurrence.
6.7a	Code Z	Incorporate PAPAC goals and objectives into the Strategic Plan. This final version includes any changes developed in the negotiations.
6.8a	Code Z	Process complete.

(b) Revise PAPAC NPD and NPG

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0b		The PMCWG charter calls for an update of NPD 7120.4 and NPG 7120.5
6.1b	Secretary PMCWG	The Secretary of the PMCWG logs in all proposed changes. Changes may arrive via the NODIS system or other comments provided to the Secretary.
6.2b	PMCWG	Develop a proposed update, including the proposed changes as input and provide (hardcopy) to Director AE.
6.3b	Director AE	Receive and review the proposed update from the PMCWG.
6.4b	Director AE	Determine if the proposed update is acceptable in that it improves the process, and, in the professional judgement of the Director AE, consistent with good program/project management practices.
6.5b	Secretary AE	Send the Deputy AE comments (electronic) to the PMCWG for them to incorporate into a revised proposed update.
6.6b	Director AE	Send the revised PAPAC NPD or NPG (hardcopy) to Code J.
6.7b	Director AE	Receive and sign the NPD/NPG Purple Package.
6.8b	Code J	Implement Code J Approval process. The result is a NASA Approved, Updated

Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
		version of the PAPAC NPG/NPD.
6.9b	Director AE	Process complete.

(c) Develop PAPAC Performance Plan Targets

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0c		Code B requests Performance Plan targets for FY+2 and last minute changes to FY+1. The request is issued (hardcopy) with the budget guidelines.
6.1c	Code AE as assigned by AE Director or Deputy	Based on last year's Performance Report, next year's Draft Performance Plan targets and the current year metrics & targets, draft, in coordination with Director AE, the Proposed PAPAC Performance Plan targets for FY+2 and/or develop any necessary changes to FY+1 targets. Send the proposed targets via email or memo to the responsible organizations for input/comments.
6.2c	Code AE as assigned by AE Director or Deputy	Compile the input/comments supplied by the responsible organizations, and revise the PAPAC Performance Plan targets, in coordination with Director AE. Provide electronic copy or hardcopy with cover sheet to Code B.
6.3c	Code B	Integrate PAPAC Performance Plan Targets into the Performance Plan.
6.4c	Code AE as assigned by AE Director or Deputy	Are comments received via Code B?
6.5c	Director AE/ Assignee and Responsible Organizations	Discussion between Code AE and other Codes to negotiate concurrence.
6.6c	Code B	Finalize PAPAC Performance Plan Targets in the Performance Plan. This final version includes any changes developed in the negotiations.
6.7c	Code B	Process complete.

(d) Performance Reporting

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0d		A request for status, presentation, input and/or assessment against Performance Plan targets is received from Code B or initiated within Code AE. The material is requested for a variety of purposes, including mid-year status, CIC or SMC presentation, Performance Report
6.1d	Code AE as Assigned by AE Director or Deputy	Send request for performance information to responsible organizations. The secretary AE issues a memo (hardcopy) with the request and targets to the responsible organizations for concurrence, with Director AE signature.
6.2d	Code AE as Assigned by AE Director or Deputy	Receive input (hardcopy or email) from responsible organizations. Code AE assigned person performs roll-up of target(s) assigned to AE for roll-up. Code AE assigned person compiles input corresponding to each target.

Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.3d	Director AE/ Deputy AE	Assess the performance of the PAPAC Process, by comparing the compiled inputs with the Performance Plan targets.
6.4d	Code AE as Assigned by AE Director or Deputy	A presentation may be requested, such as for CIC review of SMC briefing.
6.5d	Director AE/ Responsible Organization	Present the performance information.
6.6d	Code AE as Assigned by AE Director or Deputy	Is this for the Annual Performance/Accountability Report?
6.7d	Code AE as Assigned by AE Director or Deputy	The process is complete.
6.8d	Code AE as Assigned by AE Director or Deputy	In coordination with Director AE, provide the PAPAC input to Code B in the requested format. Provide electronic copy or hardcopy with cover sheet to Code B.
6.9d	Code B	Integrate into Performance/Accountability Report.
6.10d	Code AE as Assigned by AE Director or Deputy	Are comments received via Code B?
6.11d	Director AE/ Director B/ Other Codes	Discussion between Code AE and B Directors and other Codes to negotiate concurrence.
6.12d	Code B	Incorporate PAPAC Performance/Accountability Report input into the Performance/Accountability Report. This final version includes any changes developed in the negotiations.
6.13d	Code B	Process complete.

(e) Manage PMC Meetings for Program Evaluation: IAs, NARs, IARs

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0e		Each Program/Project/Initiative review process is documented in the PCA. For Programs that report to the HQ PMC, the results of IAs, NARs, and IARs are presented to the PMC.
6.1e	IPAO/ Enterprise	Both the Enterprise and the IPAO recommend the type of review that should be performed (IA, NAR, IAR) to Code AE.
6.2e	Deputy AE	Place the PMC meeting on the Agenda. The Agenda is maintained and

Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
		distributed by the Secretary AE.
6.3e	Deputy AE	Request IPAO to perform the appropriate review type. This request is a written memo signed by the Deputy AE
6.4e	IPAO	Conduct the requested review. Produce a draft briefing of the review results.
6.5e	Code AE/ Code B	Receive the draft briefing (hardcopy) from IPAO and review.
6.6e	Code AE/ Code B	Determine if the draft briefing is acceptable for presentation. Acceptability is based on the completeness and accuracy of the briefing, and its compliance with the requirements given in NPG 7120.5. If not, send comments to the IPAO for them to revise the briefing.
6.7e	IPAO	Revise the draft briefing based on comments from Code AE and Code B. Negotiate with Code AE and Code B as necessary.
6.8e	Deputy AE	The PMC Agenda is changed if necessary. The Agenda is maintained and distributed by the Secretary AE (hardcopy). If changes are made, the Agenda is redistributed.
6.9e	Deputy AE	Table discussion of presentation viewgraphs with Associate Deputy Administrator
6.10e	Associate Deputy Administrator	Conduct PMC meeting. The PCA and the briefing are presented by the IPAO.
6.11e	Deputy AE	Draft the PMC meeting minutes.
6.12e	Secretary AE	Send draft meeting minutes to other codes for concurrence via memo signed by Deputy AE.
6.13e	Other Codes	Review the meeting minutes.
6.14e	Other Codes	Develop comments/concurrence.
6.15e	Deputy AE/ Other Codes	Discussion between Deputy AE and other Codes to negotiate differences.
6.16e	Deputy AE	Send revised draft PMC minutes (hardcopy) and concurrence sheet to the Associate Deputy Administrator for approval.
6.17e	Associate Deputy Administrator	Review the meeting minutes.
6.18e	Associate Deputy Administrator	Develop comments/concurrence.
6.19e	Associate Deputy Administrator/ Deputy AE/ Other Codes	Meet as necessary to discuss the reasons for non-concurrence. Negotiate differences.
6.20e	Associate Deputy Administrator	Sign PMC minutes.
6.21e	Correspondence Management Office	Receive signed PMC minutes. Record actions for tracking and closure in the HATS system (see Code CIC HOWI 14509-C009 for information on the handling of HATS records), and forward to Code AE. The Deputy AE approves action closures and notifies Correspondence Management Office of any changes to the actions/action schedules.
6.22e	Secretary AE	Send (hardcopy) to Administrator and Codes.

Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.23e		Process Complete.

(f) Manage PMC Meetings for Quarterly Status Review

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0f		The HQ PMC reviews Agency Program/Projects/Initiatives quarterly.
6.1f	Deputy AE	Place the PMC meeting on the Agenda. The Agenda is maintained and distributed (hardcopy) by the Secretary AE.
6.2f	Deputy AE or assignee	Approximately 3 weeks prior to the meeting, a memo (hardcopy) is sent to the Enterprises detailing the required reporting formats for the upcoming QSR, including the status of open PMC actions.
6.3f	Other Codes	Prepare QSR presentations.
6.4f	Other Codes	Provide presentations on computer disk to Program Review Center.
6.5f	Associate Deputy Administrator	Conduct PMC meeting. Overdue open actions may be addressed by the Associate Deputy Administrator.
6.6f	Deputy AE	Draft the PMC meeting minutes.
6.7f	Secretary AE	Send draft meeting minutes to other codes for concurrence via memo signed by Deputy AE.
6.8f	Other Codes	Review the meeting minutes.
6.9f	Other Codes	Develop comments/concurrence.
6.10f	Deputy AE/ Other Codes	Discussion between Deputy AE and other Codes to negotiate differences.
6.11f	Deputy AE	Send revised draft PMC minutes (hardcopy) and concurrence sheet to the Associate Deputy Administrator for approval.
6.12f	Associate Deputy Administrator	Review the meeting minutes.
6.13f	Associate Deputy Administrator	Develop comments/concurrence.
6.14f	Associate Deputy Administrator/ Deputy AE/ Other Codes	Meet as necessary to discuss reasons for non-concurrence. Negotiate differences and Deputy AE makes necessary changes (hardcopy).
6.15f	Associate Deputy Administrator	Sign PMC minutes.
6.16f	Correspondence Management Office	Receive signed PMC minutes. Record actions for tracking and closure in the HATS system (see Code CIC HOWI 14509-C009 for information on the handling of HATS records), and forward to Code AE. The Deputy AE approves action closures and notifies Correspondence Management Office of any changes to the actions/action schedules.

Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.17f	Secretary AE	Send (hardcopy) to Administrator and Codes.
6.18		Process complete.
 (g) Review PCAs		
<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0g		PCA has been generated, signed by the Comptroller, and is ready for review.
6.1g	Secretary AE	Determine if PCA is in response to an Action.
6.2g	Correspondence Management Office	Log status into HATS.
6.3g	Secretary AE	Receive the PCA and log its receipt. This log file (electronic) is kept by the Secretary AE.
6.4g	Deputy AE, or Assignee	Review the PCA for recommendation for Administrator signature. Review changes from previous PCA and for consistency with requirements in NPG 7120.5.
6.5g	Deputy AE	Determine that the PCA is acceptable, or develop comments for the originating office.
6.6g	Secretary AE	Log the PCA disposition and send it (hardcopy) with comments to the originating office.
6.7g	Originator	Revise the PCA per the comments from the Deputy AE.
6.8g	Secretary AE	Log the acceptable status of the PCA.
6.9g	Secretary AE	Has the Correspondence Management Office initialed the PCA?
6.10g	Correspondence Management Office	Review the PCA for format. If changes are identified, facilitate changes with the originating office. Forward to Code AE Secretary.
6.11g	Secretary AE	Prepare the concurrence sheet and the PCA (hardcopy) to Code AI. If changes were made, the Deputy AE or assignee may check these changes. A cover memo is generated and signed by the Chief Engineer to note changes from the previous PCA and any outstanding issues. Forward package to Code AI.
6.12g	Code AI	Receive and review PCA package and schedule meeting for Administrator's signature. Meet as necessary/direct responsible offices to resolve issues. After signature, forward to the Correspondence Management Office.
6.13g	Correspondence Management Office	Headquarters Correspondence Management Office receives and processes the original PCA (signed by the Administrator). Hardcopies are sent to Code AE, Code AI, and the originating office.
6.14g	Secretary AE	Receive copy of signed PCA from Correspondence Management Office.
6.15g	Secretary AE	Process Complete.

Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

7.0 Quality Records

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Record Media</u>	<u>NPG 1441.1 Schedule and Item Number</u>	<u>Retention/Disposition</u>
Draft Update of PAPAC Goals and Objectives	Sec AE	Code AE File	hardcopy	Schedule 1, Item 24	Destroy when 3 months old or when no longer needed, whichever is sooner.
AE Concurrence/ Comments on the Update	Sec AE	Code AE File	hardcopy	Schedule 1, Item 78C	Destroy or delete when no longer needed.
NASA Strategic Plan	Office of Management Systems	Code JM Suite	electronic	Schedule 7, Item 4a	Permanent. Transfer to FRC 1 year after obsolete of superseded. Transfer to NARA in 5-year blocks when 20 years old.
AE Approved Revised PAPAC NPD or NPG	Code J	Code J File	hardcopy	Schedule 1, Item 72A	Retire to FRC 1 year after becoming obsolete or superseded. Transfer to NARA in 5 year blocks when 20 years old.
PAPAC Performance Plan Targets	Sec AE	Code AE File	hardcopy	Schedule 1, Item 24	Destroy when 3 months old or when no longer needed, whichever is sooner.
NASA Performance Plan	Code B	Code B File	hardcopy	Schedule 9, Item 2A	Permanent. Transfer to NARA when 35 years old.
Code AE Input to the Performance/ Accountability Report	Sec AE	Code AE File	hardcopy	Schedule 1, Item 24	Destroy when 3 months old or when no longer needed, whichever is sooner.
Performance Report	Code B	Code B Library	hardcopy	Schedule 9, Item 2A	Permanent. Transfer to NARA when 35 years old.
Accountability Report	Code B	CFO web page	electronic	Schedule 9, Item 3A	Delete/destroy when obsolete or superceded or when 5 years old.
Final Meeting Minutes	Sec AE	Code AE File	hardcopy	Schedule 1, Item 14B1a	Retire to FRC when 2 years old. Transfer to NARA when 20 years old, whichever is sooner.
Concurrence Sheet (for PMC Meeting Minutes)	Sec AE	Code AE File	hardcopy	Schedule 1, Item 78C	Destroy or delete when no longer needed.
Comments on PCA	Sec AE	Code AE File	hardcopy	Schedule 1, Item 26	Destroy when two years old.

Responsible Office: Code AE/ Office of the Chief Engineer

Subject: Lead & Manage PAPAC Process

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Record Media</u>	<u>NPG 1441.1 Schedule and Item Number</u>	<u>Retention/Disposition</u>
Code AE Memo of Issues and/or Changes	Sec AE	Code AE File	hardcopy	Schedule 1, Item 26	Destroy when two years old.
Concurrence Sheet	Sec AE	Code AE File	hardcopy	Schedule 1, Item 78C	Destroy or delete when no longer needed.
Signed PCA	Correspondence Management Office	Correspondence Management Office	hardcopy	Schedule 7, Item 10A	*Permanent* Retire files by fiscal year to FRC when no longer needed for active reference or when 8 years old, whichever is sooner. Transfer to NARA when 25 years old.